

## Classification and Retention of University Records

Reference	Description	Retention Period	Citation	Notes
E20.01	<b>Contracts and Agreements Management</b>			
E20.01.01	The negotiation, establishment and review of contracts and agreements between the institution and third parties: agreements and contracts under seal (by deed)	Termination of contract + 12 years	Limitation Act 1980 c58	Review for archival value
E20.01.02	The negotiation, establishment and review of contracts and agreements between the institution and third parties: other contracts and agreements	Termination of contract + 6 years	Limitation Act 1980 c58	Review for archival value
E20.01.03	Financial agreements	Permanent	Institutional Business Requirement	Move to archive after 2yrs
E20.02	<b>Legal Claims Management</b>			
E20.02.01	The provision of legal support and representation for the institution in dealing with claims by or against the institution which do not proceed to litigation or settlement by an agreement	Settlement of claim + 6 years or Withdrawal of claim + 6 years	Limitation Act 1980 c58 ss 2 and 5	Review for archival value
E20.03	<b>Litigation Management</b>			
E20.03.01	Litigation between the institution and third parties where legal precedents are set	Permanent	Limitation Act 1980 c58	Move to archive after 2yrs
E20.03.02	Litigation between the institution and third parties which does not set legal precedents	Permanent	Limitation Act 1980 c58 ss 2 and 5	Review for archival value
E20.04	<b>Legal Interpretation and Advice Provision</b>			
E20.04.01	Legal advice requested by, and provided to, the institution concerning: interpretation of legislation affecting the institutions legal framework, governance, responsibilities or operations; proposals for new legislation affecting the institutions legal framework, governance, responsibilities or operations; the institutions relationships with government bodies and he regulators; industrial relations issues; health, safety and environmental	Permanent	Institutional Business Requirement	Move to archive after 2yrs
E20.04.02	Legal advice on other matters requested by, and provided to, the institution	Permanent	Institutional Business Requirement	Move to archive after 2yrs

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E20.05	<b>Data Protection Act 2018 and the General Data Protection Regulation (GDPR) EU 2016/679 Compliance Management</b>			
E20.05.01	Notification of data controller details to the office of the information commissioner	Expiry of notification + 4 years	Data Protection Act 2018 and the General Data Protection Regulation (GDPR) EU 2016/679	
E20.05.02	The handling of requests for access to personal information held by the institution under the data protection act 2018 and the general data protection regulation (gdpr) EU 2016/679	Last action on request + 6 years	General Data Protection Regulation (GDPR) EU 2016/679 Article 15	
E20.05.03	The handling of requests for the removal of personal information held by the institution under the data protection act 2018 and the general data protection regulation (gdpr) EU 2016/679	Permanent	Limitation Act 1980 c58	Move to archive after 2yrs
E20.05.04	The use of personal images by the university: permissions granted	Permanent	Data Protection Act 2018 and the General Data Protection Regulation (GDPR) EU 2016/679	Move to archive after 2yrs Records must be linked to any subsequent revocation of permissions
E20.05.05	The use of personal images by the university: permissions revoked	Permanent	Data Protection Act 2018 and the General Data Protection Regulation (GDPR) EU 2016/679	Move to archive after 2yrs
E20.05.06	(anonymised) statistics, analyses and reports of requests for access to personal information held by the institution under current data protection laws (the data protection act 2018 and general data protection regulation (gdpr) (EU) 2016/679)	Current year + 10 years	Data Protection Act 2018 and the General Data Protection Regulation (GDPR) EU 2016/679	
E20.05.07	Privacy notices	Conclusion of the activity to which the Privacy Notice relates + 6 years	Limitation Act 1980 c58; EU 2016/679 5(1)(e)	
E20.05.08	Data protection training: user guides presentations handouts provision of local knowledge base	Superseded + 6 years	Institutional Business Requirement	Review for archival value
E20.05.09	Handling of Privacy Impact Assessments (PIA/DPIA)	Termination of Process +10 years	Institutional Business Requirement	Review for archival value

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<b>E20.05</b>	<b>DPA GDPR continued...</b>			
E20.05.10	Advice provided by DPO and team	last correspondence +2 yrs	Institutional Business Requirement	
E20.05.11	Handling of Data Breaches - Major	Last Action +6 yrs	Institutional Business Requirement	
E20.05.12	Handling of Data Breaches - Minor	Last Action +2 yrs	Institutional Business Requirement	
E20.05.13	Handling of Data Breaches Reported to the ICO - Major and Minor	Last Action on case + 6yrs	Institutional Business Requirement	
E20.05.14	Data protection audits	Permanent	Institutional Business Requirement	

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E20.06	<b>Freedom of Information Act (FoI) and Environmental Information Regulations (EIR) Compliance</b>			
E20.06.01	The development and maintenance of the publication scheme as required by the freedom of information act 2000 and the freedom of information (Scotland) act 2002	Completion of revision of Publication Scheme + 5 years	2000 c36; asp 13	See: 'Model Publication Scheme Freedom of Information Act', 2015 (ICO); 'Definition document for universities and other higher education institution and 'Definition document for colleges of further education' ICO (2013)
E20.06.02	The handling of requests for access to information held by the institution, made under the freedom of information act 2000, the freedom of information (Scotland) act 2002, the environmental information regulations 2004 or the environmental information (Scotland) regulations 2004	Completion of request handling process + 3 years	2000 c36; asp 13; SI 2004/3391; SSI 2004/520	Records created by a public body fulfilling its obligations under the Freedom of Information Act 2000' (The National Archives). Records (or information extracted from them) relating to cases which set legal precedents, or which establish principles for handling requests for certain types of information should be kept for longer, possibly as part of policy development records.
E20.06.03	(anonymised) management statistics, analyses and reports of requests for information held by the institution, made under the freedom of information act 2000, the freedom of information (Scotland) act 2002, the environmental information regulations 2004 or the environmental information (Scotland) regulations 2004	Current year + 10 years	Institutional Business Requirement 2000 c36; asp 13; SI 2004/3391; SSI 2004/520	Records created by a public body fulfilling its obligations under the Freedom of Information Act 2000' (The National Archives). See: 'Model Publication Scheme Freedom of Information Act', 2015 (ICO); 'Definition document for universities and other higher education institution and 'Definition document for colleges of further education' ICO (2013)
E20.06.04	Freedom of information and eir training: user guides presentations and handouts	Superseded + 1 year	Institutional Business Requirement	Review for archival value
E20.07	<b>Copyright Compliance Management</b>			
E20.07.01	Applications for permission to copy from published works which are not covered by copyright licensing agency licences: where permission is not granted	Last action on application + 1 year	Institutional Business Requirement	
E20.07.02	Applications for permission to copy from published works which are not covered by copyright licensing agency licences: where permission is granted	Period for which permission is granted + 6 years	Limitation Act 1980 c58 s 5	
E20.07.03	The compilation of statistical and other data required by the copyright licensing agency and the submission of this data to the agency	Current year + 1 year	Institutional Business Requirement	

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<b>E20.07</b>	<b>Copyright Compliance Management continued...</b>			
E20.07.04	The institutions participation in surveys/audits undertaken by the copyright licensing agency	Completion of survey/audit	Institutional Business Requirement	
E20.07.05	The institutions participation in inspections undertaken by copyright owners or their representatives to check the institutions compliance with legal and contractual requirements	Last action on case + 1 year	Institutional Business Requirement	
<b>E20.08</b>	<b>Intellectual Property Rights (IPR) Protection</b>			
E20.08.01	The institutions applications for patents and patent certificates	Life of patent + 50 years	Legal opinion	
E20.08.02	The institutions applications for other forms of ipr protection (registered trade marks, registered designs) and certificates of registration	End of registration + 6 years	Limitation Act 1980 c58 s 5	
E20.08.03	Applications for renewal of ipr protection, up to the maximum period permitted	Life of patent/End of registration	Institutional Business Requirement	
E20.08.04	Routine monitoring of third party activity to detect infringements of the institutions ipr	Current year + 5 years	Institutional Business Requirement	
E20.08.05	Identified infringements of the institutions ipr, and action taken other than litigation	Last action on case + 6 years	Limitation Act 1980 c58 s 5	Review for archival value
<b>E20.09</b>	<b>Intellectual Property Rights (IPR) Assignment</b>			
E20.09.01	The negotiation and completion of ipr assignments to third parties	Life of IPR + 6 years	Limitation Act 1980 c58 s 5	
<b>E20.10</b>	<b>Intellectual Property Rights (IPR) Licensing</b>			
E20.10.01	The negotiation and completion of ipr licence agreements to third parties	Termination of licence + 6 years	Limitation Act 1980 c58 s 5	